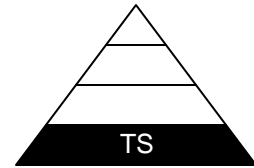


"This draft, December 1999, prepared by the Office of the Departmental Representative to the Defense Nuclear Facilities Safety Board has not been approved and is subject to modification. Project No. MGMT-0003"



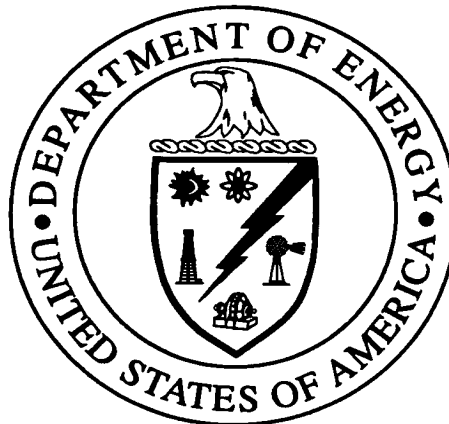
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**DOE-STD-1063-YR
Proposed**

**Supersedes
DOE-STD-1063-97
October 1997**

DOE STANDARD

~~ESTABLISHING AND MAINTAINING A FACILITY REPRESENTATIVE S PROGRAM AT DOE FACILITIES~~



**U.S. Department of Energy
Washington, D.C. 20585**

AREA-MGMT

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FOREWORD

1. This Department of Energy standard is approved for use by all DOE Components.
2. The Revision to this DOE standard was developed by a working group consisting of headquarters and field participants. Beneficial comments (recommendations, additions, deletions) and any pertinent data that **may** improve this document **should** be sent to:

**Facility Representative Program Manager—Office of Field Management, Office of the
Departmental Representative to the Defense Nuclear Facilities Safety Board (DOE
S-3.1), DOE Headquarters, Forrestal Building.**

3. DOE technical standards, such as this standard, do not establish requirements. However, all or part of the provisions in a DOE standard can become requirements if they are explicitly stated to be requirements in a DOE requirements document, or the organization makes a commitment to meet a standard in a contract or in an implementation plan or program plan required by a DOE requirements document.
4. Throughout this standard, the word "**shall**" is used to denote actions that **must** be performed if the objectives of this standard are to be met. If the provisions in this standard are made requirements through one of the two ways discussed above, then the "**shall**" statements would become requirements. It is not appropriate to consider that any "**should**" statements would automatically be converted to "**shall**" statements, as this action would violate the consensus process used to approve this standard.

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1. SCOPE

- 1.1 Scope. This standard, "~~ESTABLISHING AND MAINTAINING A FACILITY REPRESENTATIVE S PROGRAM AT DOE FACILITIES,~~" DOE-STD-1063-~~2000~~97, defines the duties, responsibilities and qualifications for DOE Facility Representatives, based on facility hazard classification; risks to workers, the public, and the environment; and the operational activity level. This standard provides the guidance necessary to ensure that DOE facilities have sufficient staffing of technically-qualified Facility Representatives to provide day-to-day oversight of contractor operations. **Field Element Managers** should incorporate the information contained in this standard, as well as any additional facility-specific requirements, into site-specific implementation procedures for DOE Facility Representatives.
- 1.2 Purpose of Program. The purpose of the DOE Facility Representative Program is to ensure that competent DOE staff personnel are assigned to oversee the day-to-day contractor operations at DOE's most hazardous facilities. Oversight performed by Facility Representatives provides DOE line managers with accurate objective information on the effectiveness of contractor work performance and practices, including implementation of the integrated safety management system. The Department's experience has shown that when personnel are dedicated to this function, the information that they provide can be used proactively to ensure that work is completed in a safe and environmentally responsible manner.
- 1.3 Purpose of Standard. The purpose of this standard is to help ensure that DOE Facility Representatives are selected based on consistently high standards and from the best qualified candidates available, that they receive the training required for them to function effectively, and that their expected duties, responsibilities, and authorities are well understood and accurately documented. To this end, this guidance provides the following practical information:
 - a. An approach for use in determining the required facility coverage.
 - b. The duties, responsibilities and authorities expected of a Facility Representative.
 - c. The training and qualifications expected of a Facility Representative.
 - d. Elements necessary for successful Facility Representative Programs at DOE Field Offices.
- 1.4 Applicability. This standard is intended for use by all DOE Components in establishing and maintaining Facility Representative programs at DOE owned, contractor-operated facilities. **DOE Managers of government-**

~~owned, government-operated facilities may apply~~ is not intended for this guidance to facilities operated exclusively by DOE Federal employees. ~~Although the guidance was written primarily to address Facility Representatives at nuclear facilities, applicable portions of this standard should be applied to hazardous non-nuclear facilities, as deemed appropriate by Field Element Managers and Secretarial Officers.~~ Field Element Managers and Secretarial Officers ~~may~~ develop additional guidance regarding Facility Representative requirements.

2. REFERENCES

2.1 Government Documents. The following ~~Directives Orders, Manuals, and Standards~~ are references to the extent specified herein.

2.1.1 DOE ~~Directives (Policies, Orders, Manuals, Guides)~~.

- DOE O 151.1, Comprehensive Emergency Management
- DOE O 232.1, Occurrence Reporting and Processing of Operations Information
- ~~DOE M 232.1-1, Occurrence Reporting and Processing of Operations Information~~
- DOE O 360.1, Training
- DOE M 411.1-1 DOE Safety Management Functions, Responsibilities, and Authorities (FRA) Manual [including the Level I document, and those lower level FRA documents specific to program offices and field elements]
- DOE O 420.1, Facility Safety
- ~~DOE O 425.1, Startup and Restart of Nuclear Facilities~~
- ~~DOE P 426.1, Federal Technical Capability Policy for Defense Nuclear Facilities~~
- ~~DOE G 426.1-1, Recruiting, Hiring, and Retaining High-Quality Technical Staff~~
- ~~DOE G 450.4-1, Integrated Safety Management System Guide~~
- DOE O 5480.19, Conduct of Operations Requirements for DOE Facilities
- DOE O 5480.23, Nuclear Safety Analysis Reports

2.1.2 DOE Standards.

- ~~DOE-HDBK-1204-97~~~~DOE-STD-1009-92~~, Guide to Good Practices for the Development of Test Items
- ~~DOE-HDBK-1205-97~~~~DOE-STD-1011-92~~, Guide to Good Practices for the Design, Development, and Implementation of Examinations
- DOE-STD-1027-92, Hazard Classification and Accident Analysis Techniques for Compliance with DOE O 5480.23, Nuclear Safety Analysis Reports
- ~~DOE-EM-STD-5505-96, Operations Assessments~~

2.1.3 Other.

- ~~DOE-HR Handbook Recruiting, Hiring, and Retaining High Quality Technical Staff -- A Manager's Guide to Administrative Flexibilities.~~
- ~~DOE Facility Representative Personnel Guide, April 03, 1995.~~

- DOE Implementation Plan for DNFSB Recommendation 92-2, DOE's Facility Representative Program at Defense Nuclear Facilities, November 5, 1992.
- DOE Implementation Plan for DNFSB Recommendation 93-3, Improving DOE Technical Capability in Defense Nuclear Facilities Programs, May 5, 1998.

2.2 Order of Precedence. In the event of conflict between the text of this document and DOE Order, the DOE Order takes precedence. Nothing in this document supersedes applicable laws and regulations.

3. DEFINITIONS

- 3.1 Activity Level. The level of operational activity within the facility. Activity refers to handling or moving hazardous material, or otherwise creating an opportunity for the occurrence of a reportable event.
- 3.2 Core Training Requirements. The portion of the training program designed to cover the DOE-wide, generic subjects on which all Facility Representatives are expected to be knowledgeable. This includes the DOE General Technical Base Qualification Standard and the DOE Facility Representative Functional Area Qualification Standard.
- 3.3 Contractor. Any person under contract or subcontract with the Department of Energy with the responsibility to perform activities in connection with any facility, laboratory, or program at a DOE-owned or leased facility.
- 3.4 Department or DOE. The Department of Energy.
- 3.5 Nuclear Facility Hazard Classification. (DOE G 450.4-1A) Evaluation of the consequences of unmitigated releases, performed to classify facilities or operations into the following hazard categories based on the potential consequences indicated by the hazard analysis: A systematic grouping of facility hazards into three categories, described in DOE-STD-1027-92:
- Category 1 - potential for significant off-site consequences.
Category 2 - potential for significant on-site consequences.
Category 3 - potential for significant localized consequences.
- 3.6 Facility Representative. For each major facility or group of lesser facilities, an individual assigned responsibility by the Field Element Manager (or designee) for monitoring the safety performance of the facility and its operations. This individual shall be is the primary point of contact with the contractor for safety oversight and shall be is responsible to the facility's DOE Line Manager.
- 3.7 Facility Representative Coverage. The degree of attention a Facility Representative is expected to devote to an assigned facility. Coverage is usually expressed in terms of the amount of time, including back shift and weekend time, that the Facility Representative is expected to routinely spend in the facility.
- 3.8 Field Element or Organization. A DOE Operations Office, Field/Area/Site Office, or Project Office as opposed to DOE Headquarters.
- 3.9 Hazard. (10CFR830.3) Hazard means a source of danger (i.e., material, energy source, or operation) with the potential to cause illness, injury, or

death to personnel or damage to a facility or to the environment (without regard to the likelihood or credibility of accident scenarios or consequence mitigation).

- 3.10 Hazardous Materials. (DOE O 420.1) Any solid, liquid, or gaseous material that is chemical, toxic, explosive, flammable, radioactive, corrosive, chemically reactive, or unstable upon prolonged storage in quantities that could pose a threat to life, property, or the environment.
- 3.11 Interim Qualification. Specific requirements that **must** be met prior to a Facility Representative being assigned to provide limited coverage in a facility for which he or she is not fully qualified.
- 3.12 Line Organization. The unbroken chain of command that extends from the Secretary through the **Deputy Under Secretary (Chief Operating Officer)**, to the Secretarial Officers who set program policy and plans and develop assigned programs, to the Program and Field Element Managers who are responsible for execution of these programs, and to the contractors who conduct the programs. Environment, Safety, and Health (ES&H) are integral parts of each program. Accordingly, responsibility for ES&H functions resides with the line organizations.
- 3.13 Nonreactor Nuclear Facility. (10CFR830.3) Nonreactor nuclear facility means those activities or operations that involve radioactive and/or fissionable materials in such form and quantity that a nuclear hazard potentially exists to the employees or the general public. Incidental use and generating of radioactive materials in a facility operation (e.g., check and calibration sources, use of radioactive sources in research and experimental and analytical laboratory activities, electron microscopes, and X-ray machines) would not ordinarily require the facility to be included in this definition. Transportation of radioactive materials, accelerators and reactors and their operations are not included. The application of any rule to a nonreactor nuclear facility **shall should** be applied using a graded approach. Included are activities or operations that:
- (a) Produce, process, or store radioactive liquid or solid waste, fissionable materials, or tritium;
 - (b) Conduct separations operations;
 - (c) Conduct irradiated materials inspection, fuel fabrication, decontamination, or recovery operations;
 - (d) Conduct fuel enrichment operations;
 - (e) Perform environmental remediation or waste management activities involving radioactive materials; or
 - (f) Design, manufacture, or assemble items for use with radioactive materials and/or fissionable materials in such form or quantity that a nuclear hazard potentially exists.

- 3.14 Nuclear Facility. (10CFR830.3) Nuclear facility means reactor and nonreactor nuclear facilities.
- 3.15 Occurrence Report. A documented evaluation of an event or condition that is prepared in sufficient detail to enable the reader to assess its significance, consequences, or implications and to evaluate the actions being proposed or employed to correct the condition or to avoid recurrence.
- 3.16 Proficiency. The process by which a qualified Facility Representative stays current on technical knowledge, assigned facilities, procedures, etc. Regaining proficiency **may** be required **by field element programs and procedures** after an absence from Facility Representative duties, a period of inactivity at a given facility, as an ongoing training, or based on length of time between the Facility Representative's full qualification and next requalification date.
- 3.17 Program Manager. (~~DOE Glossary~~) A Headquarters organization responsible for executing program management functions, and for assisting and supporting field elements in safety and health, administrative, management, and technical areas. (The Program Manager holds signature authority to provide technical direction through DOE field elements to contractors for these facilities. The Program Manager is a member of the Line Organization.)
- 3.18 Qualification. The process of completing requirements determined to be vital to performing the Facility Representative role in a given facility. This process **will** include **s** acknowledgment of the required education and experience, completion of the core knowledge requirements to perform Facility Representative duties, facility-specific requirements determined by the field element, and oral and written examinations.
- 3.19 Qualifying Official. An individual, designated by the Field Element Manager, or designee, authorized to sign the Qualification Card after verifying the candidate possesses the appropriate level of knowledge or skills for such signature.
- 3.20 Reactor. (10CFR830.3) Reactor means, unless it is modified by words such as containment, vessel, or core, the entire nuclear reactor facility, including the housing, equipment, and associated areas devoted to the operation and maintenance of one or more reactor cores. Any apparatus that is designed or used to sustain nuclear chain reactions in a controlled manner, including critical and pulsed assemblies and research, test, and power reactors, is defined as a reactor. All assemblies designed to perform subcritical experiments that could potentially reach criticality are

also to be considered reactors. Critical assemblies are special nuclear devices designed and used to sustain nuclear reactions. Critical assemblies **may** be subject to frequent core and lattice configuration change and **may** be used frequently as mockups of reactor configurations.

- 3.21 Risk. (~~DOE O 5480-23~~) Risk means the quantitative or qualitative expression of possible loss that considers both the probability **of an event in which the hazard could cause harm** ~~that a hazard will cause harm~~ and the consequences of that event.
- 3.22 Safety Analysis. A documented process:
- to provide systematic identification of hazards within a given DOE operation;
 - to describe and analyze the adequacy of measures taken to eliminate, control, or mitigate identified hazards; and
 - to analyze and evaluate potential accidents and their associated risks.
- 3.23 Safety Analysis Report. That report, fully defined in 10CFR830, which documents the adequacy of safety analysis to ensure that the facility can be constructed, maintained, shut down, and decommissioned safely and in compliance with applicable laws and regulations.
- 3.24 Secretarial Officer. (~~DOE M 411.1-1A~~) **The Head of a first-tier Headquarters organization responsible for one or more of the Department's congressional established missions. These offices report to the Assistant Secretaries for Defense Programs; Energy Efficiency and Renewable Energy; Environmental Management; Nonproliferation and National Security; and Fossil Energy, and the Offices of Civilian Radioactive Waste Management; Science; Fissile Materials Disposition; and Nuclear Energy, Science and Technology. The following designations are also used to identify Secretarial Officers with specific responsibilities in various areas: 1) Program Secretarial Officer (PSO) - responsible for executing program management functions, and for assisting and supporting field elements in safety and health, administrative, management, and technical areas; 2) Cognizant Secretarial Officer (CSO) - responsible for a bounded set of facilities or a laboratory (e.g., Lawrence Livermore National Laboratory, Y-12 Plant) within a multi-program field office; and 3) Lead Program Secretarial Office (LPSO) - has overall ownership responsibility for those field offices assigned to report through his/her program office. (See memorandum, T. J. Glauthier to Departmental Elements, "Roles and Responsibilities Guiding Principles," 8-19-99.)**~~The head of a first-tier organization; a DOE Headquarters employee reporting directly to the Secretary, the Under Secretary, or the Deputy Secretary. The following designations are also used to identify Secretarial Officers with specific responsibilities in various areas: 1) a~~

~~Program Secretarial Officer is a Head of a Departmental Element who has responsibility for a specific program or facility(ies). These include the Assistant Secretaries for Defense Programs, Energy Efficiency and Renewable Energy, Environmental Management, and Fossil Energy; and the Directors of the Offices of Civilian Radioactive Waste Management, Science Energy Research, and Nuclear Energy, Science and Technology, and 2) a Cognizant Secretarial Officer is a DOE official at the Assistant Secretary level who is responsible for the assignment of work, the institutional overview of any type of facility, or the management oversight of a laboratory.~~

- 3.25 Training Equivalency. The completion of training requirements by an individual through the means of prior experience or training, which results in comparable knowledge or capabilities, equivalent to that which would be gained by complying with the specified requirements. Prior experience and training ~~is~~ ~~must~~ be evaluated and documented to demonstrate equivalency to the specified requirements.
- 3.26 Training Program. A planned, organized sequence of activities designed to prepare persons to perform their jobs, to meet a specific position or classification need, and to maintain or improve their performance on the job.
- 3.27 Walkthrough. A tour through a facility with a qualifying official for the purpose of verifying a Facility Representative candidate's knowledge of the facility.

4. GENERAL REQUIREMENTS

4.1 Purpose and Coverage. Because of the importance of the Facility Representative program to the Department's overall commitment to the safe operation of its facilities, this DOE standard has been developed with the intent of placing increased emphasis on recruiting, selection, and training efforts to ensure that Facility Representative positions are filled by highly qualified personnel. This standard provides the guidance necessary to ensure that DOE facilities have sufficient staffing of technically-qualified Facility Representatives to provide day-to-day oversight of contractor operations. ~~Field Element Managers should be followed this standard in establishing and maintaining the establishment and maintenance of~~ Facility Representative programs for DOE facilities to ensure that:

- a. Facility Representatives are selected based on consistently high standards and from the best qualified candidates available;
- b. Facility Representatives receive the training required to function effectively; and
- c. Facility Representative duties, responsibilities and authorities are well understood and accurately documented.

4.1.1 DOE Facility Representatives. DOE Facility Representatives perform DOE line management oversight of their assigned facilities to ensure that:

- a. the contractor is operating facilities safely and efficiently (i.e., within the boundaries of those controls invoked in the facility authorization basis);
- b. the contractor's management system is effectively ~~implementing Integrated Safety Management objective, principles, and functions controlling conduct of operations~~; and
- c. effective lines of communication between DOE and its operating contractors are maintained during periods of normal operation, and following reportable events, in accordance with DOE Orders and requirements.

4.1.2 Facility Coverage and Staffing. This standard is designed to provide flexibility to field elements in how they choose to use their available resources in applying this standard for a Facility Representative Program. ~~Field Element Managers should be assigned~~ Facility Representatives to facilities based on programmatic importance and potential environmental, safety, and/or health impact. ~~The Field~~

Element Manager ~~should~~ prepare staffing plans to document these assignments and supporting rationale.

- a. Field Element Managers ~~shall~~ assign one or more full-time Facility Representatives to each hazard category 1 facility, unless the Field Element Manager and Secretarial Officer agree that less coverage is necessary. ~~Most hazard category 1 nuclear facilities require one or more full time Facility Representatives. For hazard category 2 or 3 nuclear facilities, Field Element Managers may be assigned a Facility Representative to two or more facilities. At non-nuclear facilities Field Element Managers should be established the level of coverage consistent with the nature of the work and the hazards. In unusual situations, when it is impractical to assign a sufficient number of facilities to occupy a person full-time, the Field Element Manager may assign the~~ duties of a Facility Representative ~~to be performed part-time as a collateral function. The Field Element Manager is responsible for preparing staffing plans to document these assignments and supporting rationale.~~
- b. It is important that a Facility Representative's primary duty of providing DOE an on-site presence not be diminished. ~~Administrative duties should not detract from a Facility Representative's primary duties as provided in Section 5.2. Field Element Managers should make assignments so that~~ Facility Representatives spend a significant portion of their time in their assigned facility(s). It is preferable that Facility Representative offices be located within the facility of primary responsibility. ~~Field Element Managers should make assignments so that~~ administrative work ~~does~~ not prevent Facility Representatives from performing their primary function of monitoring the performance of the facility and its operations ~~as described in Section 5.2.~~
- c. It is important for the field element to ensure the proper number of Facility Representative positions are established to maintain adequate coverage. The number of Facility Representatives assigned to facilities is based on the number of buildings or areas involved, their size, complexity, hazard levels and risks, level of operational activity, and uncertainties associated with the aforementioned factors. The Secretarial Officers ~~should monitor field element activities for establishing the number of Facility representative positions to ensure that staff and resources are sufficient~~ ~~are responsible~~ for allocating staff and necessary resources to provide adequate Facility Representative coverage ~~per Section 4.1.2.c above.~~

- d. Additionally, to the degree that Facility Representatives are advanced or otherwise lost from the program, Field Element Managers should take necessary steps to ensure departing Facility Representatives are replaced in a timely manner. The Secretarial Officer should monitor the number of Facility Representative positions filled with qualified personnel to ensure that adequate Facility Representative coverage is provided.
- e. Field Element Managers should review staffing plans and assignments of Facility Representatives at least annually to ensure that coverage assignments and responsibilities are appropriate to the hazards and level of activity involved.

4.2 Unencumbered Access. Field Element Managers shall ensure that Facility Representatives have independent and direct access to contractor personnel, facilities, and records, as necessary, to carry out their assigned responsibilities. Unencumbered and immediate access does not preclude a Facility Representative from following industrial safety, emergency action, radiation protection, safeguards and security, or operational requirements and controls of the facility. Facility Representatives shall adhere to these requirements and controls when discharging their duties.

- a. Field Element Managers shall ensure that Facility Representatives have immediate unannounced access to every assigned facility. Facility Representatives shall maintain the proper clearances, training, personal protective equipment, and physical qualifications for such access.
- b. Field Element Managers shall ensure that Contractor management should afford the Facility Representative the opportunity to attend all meetings, training classes, operator certification boards/examinations, etc., that may contribute to the execution of the duties and responsibilities of the Facility Representative.
- c. Field Element Managers may limit access to some records be limited due to in accordance with Privacy Act considerations.
- d. Due to safeguards and security requirements, Field Element Managers may require that more than one properly trained and cleared individual be present before access can be gained to some areas.

4.3 Responsibilities and Authorities. Responsibilities and Authorities for key positions at DOE Headquarters and Field Element Managers with respect to the Facility Representative program are defined in DOE Order 232.1, Occurrence Reporting and Processing of Operations Information, and DOE Order 5480.19, Conduct of Operations for DOE Facilities, and DOE

Manual 411.1-1A, DOE Safety Management Functions, Responsibilities, and Authorities (FRA) Manual and associated lower-tier FRA documents. Specifically:

4.3.1 Deputy Secretary Responsibilities.

- a. Establish DOE policy on Facility Representatives.
- b. Resolve any cross-organizational disputes regarding Facility Representatives.

4.3.2 Facility Representatives Program Manager Responsibilities.

- a. Guide DOE-wide program implementation and continuous improvement.
- b. Monitor DOE-wide implementation performance and disseminate information to promote improved performance.
- c. Sponsor an annual workshop to share lessons learned and foster growth of the Facility Representatives community.

4.3.3 Secretarial Officer Responsibilities.

- a. Ensure overall effectiveness of Facility Representative programs at assigned field elements (FRAM Section 9.5.2), including accomplishment of performance self-assessments and associated corrective actions.
- b. Ensure adequate allocation and use of resources for Facility Representative programs at assigned field elements (FRAM Section 9.5.2).
- c. Provide developmental opportunities for Facility Representatives.

4.3.4 Field Element Manager Responsibilities.

- a. Determine facility coverage needs and make assignments of qualified Facility Representatives to maintain day-to-day oversight of applicable facilities (FRAM Section 9.5.2). ~~The Field Element Managers shall ensure that Facility Representatives are assigned appropriately~~
- b. Select, train, and qualify Facility Representatives so that they are capable of performing their assigned duties.
- c. Clearly define the functions, responsibilities and authorities of the Facility Representatives, and ensure that affected DOE and contractor managers understand the role of the Facility Representatives and provide the necessary access and support. ~~and have the required support to carry out the day-to-day operational oversight functions of the position.~~

- d. Periodically evaluate the effectiveness of the field element's Facility Representative program and pursue changes to improve overall performance and effectiveness.
- e. Provide developmental opportunities for Facility Representatives.
- f. Assign a Facility Representative Program Sponsor from among the field element's senior managers to guide and direct implementation within the field element.

4.3.5 Facility Representative Program Sponsor Responsibilities.

- a. Guide and direct Facility Representative program implementation within the field element.
- b. Serve as a management advocate for Facility Representatives within the field element to resolve programmatic issues.
- c. Ensure that Facility Representatives are effectively contributing to the field element, and DOE line/program managers are effectively using their contributions.

4.3.6. Facility Representative Responsibilities:

- a. Maintain day-to-day operational oversight of the contractor's activities (FRAM Section 9.5.1).
- b. Report potential or existing dangers to DOE line management (FRAM Section 9.5.1) and keep a record of activities and observations.
- c. Stop work as necessary to protect the health and safety of workers and the public, to protect the environment, or to protect the facility and equipment.
- d. Approve off-normal reports, when this responsibility is delegated from the Field Element Manager (FRAM Section 9.6.1.2).
- e. Adhere to established codes of conduct and protocols while performing assigned duties.

(Note: Sections 5.2, 5.3, 5.5, 5.6, and 5.7 provide most of the additional expectations of Facility Representatives).

- 4.4 Supervision, Management, and Authority. Field Element Managers shall establish clear lines of supervision, management, and authority between the Facility Representative and the applicable field element line and program managers, and the Secretarial Officer. Field Element Managers shall establish the authority of the Facility Representative to represent line management to the contractor regarding operational safety issues, except where this would change scope, cost, or schedule. Each Field Element Managers should develop specific guidance that covers the duties and responsibilities of the

Facility Representatives for situations specific to their facilities. DOE line management is responsible for safety at DOE facilities. Well-managed, well-trained Facility Representatives are an important line management tool for ensuring safe operations. **Field element line and program managers, including the Field Element Manager, should make themselves available to interact frequently with their Facility Representatives and take appropriate action to resolve identified safety and management issues.**

- 4.5 General Training and Qualification Requirements. **Field Element Managers shall qualify each** Facility Representative ~~be qualified by a combination of~~ education, experience, and training to carry out the duties and responsibilities of the position. Facility Representatives are required to meet stringent and comprehensive qualification standards. **Field Element Managers shall** ~~should~~ **qualify** Facility Representatives **as** possessing a broad technical knowledge in a variety of disciplines and ~~being~~ able to demonstrate an understanding of the management, processes, practices, regulatory requirements, and operating limits of their assigned facilities.

- 4.5.1 Qualifications. The Field Element **Manager shall** ~~will~~ develop the overall qualification program, in accordance with DOE Order 360.1, Training, including training elements specific to the assigned facilities and systems. **Field Element Managers shall** ~~should~~ **define and document** the qualifications, and authority of personnel involved in the training of Facility Representatives ~~be defined and documented.~~

- 4.5.2 Training Requirements. Facility Representatives directly interface with facility management and supervisory personnel. Therefore, **Field Element Managers shall qualify** Facility Representatives **as having** a high level of technical knowledge regarding facility operations in order to intelligently evaluate and discuss **facility operations** ~~the subject~~ with the contractor and DOE management.

- 4.5.2.1 Tailored Program. **Field Element Managers shall develop and qualify** Facility Representatives ~~be accomplished by means of a formal program~~ **that shall** include:

- a. The minimum educational and experience requirements for entry into the Facility Representative Training and Qualification Program;
- b. A core training program that ~~will~~ **covers** the generic subjects in which the Facility Representative ~~needs to~~ **must** be knowledgeable; and
- c. The **tailored**, facility-specific training necessary to effectively perform the duties of the Facility Representative.

- 4.5.2.2 Training Objectives and Scope. ~~Field Element Managers shall should~~ ~~direct Facility Representative training be directed~~ toward developing an understanding of the technical and management aspects of a facility's operation, and a familiarity with the assigned facility.
- 4.5.2.3 Training Progression. When designing a Facility Representative training program, ~~each~~ Field Element ~~Managers should~~ consider the desirability of establishing a standard training progression for prospective Facility Representative positions.
- 4.5.2.4 Advancement Considerations. As qualified Facility Representatives gain experience, they become a valuable resource of DOE. Field Element ~~Managers should~~ take necessary steps to ensure that Facility Representative positions are career enhancing and remain desirable to Facility Representative candidates. This includes incentives to maintain qualification, and the encouragement of skills enhancement through continuing training, graduate study, and professional certifications. In addition, ~~Field Element Managers and Secretarial Officers should provide~~ opportunities ~~for Facility Representatives to develop management skills should be made available.~~ This experience and training ~~can should~~ make Facility Representatives with solid technical and management skills into ~~them~~ prime candidates for positions of higher responsibility both in the field and at DOE Headquarters. Field Element ~~Managers and Secretarial Officers Headquarters should identify these developmental experiences and training opportunities account for this~~ in the personnel development plans for their organizations, and in the Facility Representatives' Individual Development Plans. ~~DOE P 426.1, Federal Technical Capability Policy for Defense Nuclear Facilities, and DOE G 426.1-1, Recruiting, Hiring, and Retaining High-Quality Technical Staff - A Manager's Guide to Administrative Flexibilities~~ ~~The DOE HR Handbook, Recruiting, Hiring, and Retaining High-Quality Technical Staff - A Manager's Guide to Administrative Flexibilities,~~ provide various mechanisms that can be used to retain these valuable resources.
- 4.5.3 Job Performance. Facility Representatives ~~shall~~ sustain satisfactory job performance to retain qualification.
- 4.5.4 Training of Field Element Management. Field Element Managers ~~should~~ take steps to ensure that all field element line management personnel understand the functions, responsibilities, and authorities of

Facility Representatives. ~~At a minimum, Field Element Managers should disseminate to field element line management personnel the written lines of supervision, management, and authority, established consistent with sections 4.4 and 5.6.~~

- 4.6 Facility Representative Program Performance Assessment and Feedback. ~~Field Element Managers shall periodically evaluate and adjust their Facility Representative program is necessary to ensure a high and continuously improving level of performance. It is the responsibility of The Cognizant Secretarial Officers and the Field Element Manager to should ensure that performance assessments are accomplished, and any indicated corrective actions are completed. This function is monitored by The DOE Headquarters Facility Representative Program Manager, Office of the Departmental Representative to the Defense Nuclear Facilities Safety Board (DOE S-3.1) Field Services and Liaison, FM-10, and accomplished should monitor the performance of Field Element Managers and Secretarial Officers using the following methods:~~
- 4.6.1 Performance Indicators. Carefully chosen performance indicators (PI) can provide valuable measures of the effectiveness of Facility Representative Programs. ~~The performance measures should address compliance to program requirements, improvements to safety, and performance effectiveness. DOE-wide Performance Indicators, addressing compliance to program requirements, improvements to safety, and performance effectiveness, are shown in Appendix A. Field elements shall submit quarterly PI data to Program Offices at DOE-HQ, with a copy to the Facility Representative Program Manager, Office of the Departmental Representative to the Defense Nuclear Facilities Safety Board (DOE S-3.1) FM-10. PIs for the preceding quarter are due to HQ on the first working day of February, May, August, and November. The Facility Representative Program Manager, Office of the Departmental Representative to the Defense Nuclear Facilities Safety Board (DOE S-3.1) FM-10 should can use these PIs to evaluate DOE-wide program effectiveness. The Facility Representative Program Manager, Office of the Departmental Representative to the Defense Nuclear Facilities Safety Board (DOE S-3.1) FM-10 shall will then compile a Department-wide PI report that will be disseminated for dissemination to applicable all-field elements and program offices.~~
- 4.6.2 Field Element Self-Assessments. ~~Each Field Element Managers shall periodically (not to exceed three years) evaluate their its Facility Representative Programs relative to the requirements in Sections 4 and 5 of this Standard. Field Element Managers should provide the results of these self-assessments should be sent to the responsible Program Office at DOE-Headquarters, with a copy to the Facility~~

Representative Program Manager, Office of the Departmental Representative to the Defense Nuclear Facilities Safety Board (DOE S-3.1) ~~FM-10~~. Guidance for the performance of these assessments is provided in Appendix B.

- 4.6.3 Peer Reviews. Field Element ~~Managers~~ ~~should~~ invite Facility Representatives and/or Facility Representative management from other sites to perform peer reviews of their Facility Representative Programs. These reviews ~~can~~ ~~will~~ provide a mutual benefit through sharing lessons learned. In addition they ~~can~~ ~~will~~ foster a more consistent Facility Representative program throughout the DOE.
- 4.6.4 Annual Facility Representative Workshop. The Facility Representative Program Manager, Office of the Departmental Representative to the Defense Nuclear Facilities Safety Board (DOE S-3.1), ~~should~~ ~~will~~ host an Annual Facility Representative Workshop to promote sharing lessons learned from Facility Representative Programs across the complex, and foster the growth of the Facility Representative community. Field Element ~~Managers~~ ~~should~~ encourage as many Facility Representatives, ~~and~~ Facility Representative Program Sponsors, ~~Managers and line managers~~ as possible to attend the workshops to share information with other sites and identify potential improvements for use in their own Facility Representatives and Safety Management programs.
- 4.6.5 Communication and Feedback Mechanisms. The Facility Representative Program Manager, Office of the Departmental Representative to the Defense Nuclear Facilities Safety Board (DOE S-3.1), ~~should~~ communicate with the Secretarial Officers and Field Element Managers frequently to guide the program implementation and continuous improvement. This can be accomplished by:
- Discussions with the Program Sponsors on strategic goals and plans;
 - Facility Representative Steering Group meetings; and
 - Information sharing through the Facility Representative Home Page (<http://dr.tis.doe.gov/facrep>).

5. DETAILED REQUIREMENTS

- 5.1 Facility Coverage and Assignment. Field Element Managers ~~shall~~ ~~evaluate~~ each ~~hazardous~~ nuclear facility ~~shall~~ ~~be evaluated by the field element to determine an appropriate level of coverage by a Facility Representative.~~ To determine appropriate facility coverage and assignment, Field Element Managers ~~should~~ ~~assess~~ ~~This determination should be based on an assessment of the hazards presented by each facility and documented~~

in field element staffing plans. ~~This assessment will~~ In this assessment, Field Element Managers should consider risks to the public, workers, and the environment resulting from operation of the facility; the operational status and activity level of the facility; as well as other factors specified in this section. Field Element Managers should also ~~The evaluation of hazards will~~ consider radiological, chemical, and physical dangers to workers, the public, and the environment, as well as the barriers against these dangers provided by the facility. Field Element Managers should may also elect to include all hazardous ~~certain non-nuclear~~ facilities in this evaluation. Secretarial Officers should validate the facility coverage and assignments for field elements, since they are responsible for allocating staff and necessary resources to provide adequate Facility Representative coverage (DOE M 411.1-1A).

- a. Field Element Managers should use existing safety analysis and hazard assessment documentation (such as that required by DOE O 5480.23 and DOE-STD-1027-92 for nuclear facilities) ~~should be used~~ to determine hazard categorization for each facility. This information provides a basis for the risks associated with the facility and a starting point for selecting the appropriate level of Facility Representative coverage. Hazard categories are defined in Section 3.5.
- b. Once the facility hazard has been categorized, Field Element Managers should determine the facility activity level, using the three activity levels defined as follows:
 - HIGH: Facilities that daily to weekly involve activities related to hazardous operations.
 - MEDIUM: Facilities that weekly to monthly involve activities related to hazardous operations.
 - LOW: Facilities that monthly to quarterly involve activities related to hazardous operations.

- c. Once the facility hazard classification and facility activity level are determined, Field Element Managers should determine the appropriate coverage activity level using Table 1:

TABLE 1. Recommended Coverage Levels

Hazard Classification	Facility Activity Level		
	High	Medium	Low
Category 1 Hazard	Continual	Frequent	Intermittent
Category 2 Hazard	Frequent	Intermittent	Occasional
Category 3 Hazard	Intermittent	Occasional	Seldom

where Table 2 provides definitions for each of the coverage levels.

TABLE 2. Coverage Level Definitions

Continual	The Facility Representative is present daily. If a Facility Representative is gone for one week or longer, the Field Element Manager should name a temporary replacement and establish an appropriate coverage schedule, which should be named. This coverage may require the complete attention of one or more individuals and may require back shift, weekend, or 24-hour coverage.
Frequent	The Facility Representative is present approximately half of the time. The Facility Representative can be gone for up to two weeks without requiring a temporary replacement. One person can cover multiple facilities.
Intermittent	The Facility Representative is present at least one day per week. One person can cover several such facilities
Occasional	The Facility Representative should visits the facility 12-24 days a year.
Seldom	The Facility Representative should visits the facility 6-12 days a year.

- d. Following establishment of the coverage for each facility, ~~Field Element Managers it may be necessary to~~ adjust the level of coverage, taking into consideration factors such as those listed below:
1. History of contractor performance for similar activities
 2. Potential for DOE or public interest
 3. The risks to successful mission accomplishment
 4. Financial risks
 5. Complexity of the facility and facility operations
 6. Hazardous work environments for workers
 7. Age, maintenance condition, and level of uncertainty of the facility
 8. Anticipated changes in operational status of facility
 9. Number of significant accidents/incidents on site.
- e. The level of Facility Representative coverage could increase or decrease based on the above additional considerations. Additionally, if personnel resource limitations affect the number of available Facility Representatives, the ~~Secretarial Officer and Field Element Managers~~ ~~should propose coverage assignments based on available resources and reach agreement with Secretarial Officers that coverage is~~

~~adequate as to which facilities require coverage with the available resources. Field Element Managers~~ ~~it may also establish~~ ~~depend on provisions made for extra or special coverage. This means that, as the degree of hazard, complexity, or other governing factors is reduced, the Field Element Managers may increase the number of processes, facilities, buildings or areas covered by a single individual may be increased. Field Element Managers may assign one or more Facility Representatives to hazard category 1 nuclear facilities may each be assigned a single or multiple Facility Representatives. Or, if the facility is sufficiently complex, the Field Element Manager may make assignments based on facility subdivisions it might be subdivided and assigned to more than one individual. If the contractor has established a building or facility manager concept, the Field Element Manager it may be appropriate to assign Facility Representatives on a similar basis. Facilities with many configuration changes (like test facilities, for example) require closer observation than facilities with very stable configurations. Also, Field Element Managers it may be possible to use special coverage assignments for a facility that operates only intermittently.~~

5.2 Duties and Responsibilities of a Facility Representative. The following paragraphs describe the duties and responsibilities normally expected of a Facility Representative. ~~Field Element Managers should tailor these and additional duties and responsibilities for Facility Representatives should be tailored to reflect the specific requirements of the site, the facility, the operational activities, and the involved organizations.~~

- a. The Facility Representative ~~shall~~ maintain frequent communication with field element supervision. The Facility Representative ~~shall~~ ensure that DOE line management is cognizant of current facility conditions. Facility Representatives ~~should~~ spend the majority of their time in their assigned facilities observing operations and assessing operating conditions.
- b. A Facility Representative ~~shall~~ be thoroughly familiar with site and facility characteristics, operating procedures, and key process control personnel. The Facility Representative ~~shall~~ be aware of major work in progress and in planning. The Facility Representative ~~shall~~ know the personnel controlling the work, what procedures ~~are to will~~ be used, whether the workers are trained and qualified, and whether the activity is being performed safely. This knowledge is primarily acquired by walking through the facility, observation of work in progress, review of facility records and documentation, and attendance at appropriate management meetings of the operating contractor. ~~Field Element Managers shall direct and ensure that operating contractors apprise Facility Representatives shall be apprised by the contractor of~~

planning, scheduling, maintenance, operations review, and safety review meetings.

- c. The Facility Representative ~~shall~~ be available to respond to facility events and serve as the DOE presence for special operations. ~~Field Element Managers shall direct and ensure that operating contractors provide~~ The operating contractor ~~shall have easy access to the~~ Facility Representatives ~~with easy access to facilities and resources~~ to facilitate the notification, if required, and reporting of occurrences and any safety or operational concerns.
- d. A Facility Representative ~~shall not be responsible for the preparation of the budget or schedule for the facility assigned and, therefore, should~~ be in a position to provide information to DOE line management independent of programmatic responsibilities. ~~Therefore, Field Element Managers should~~ ~~shall not make Facility Representatives responsible for preparing budgets or schedules for assigned facilities.~~ When it is impractical to assign a Facility Representative as a full-time duty, the separation of programmatic responsibilities, though desirable, ~~may not be possible.~~ In cases where it is impractical to separate programmatic responsibilities, the Field Element Manager or designee ~~should~~ approve ~~all assignments of~~ programmatic responsibilities to Field Representatives.
- e. The Facility Representative ~~shall~~ observe, evaluate, and report on the effectiveness of the operating contractor in several areas. These areas include operational performance, quality assurance, management controls, emergency response readiness activities, and assurance of worker health and safety. Additionally, the Facility Representative ~~shall~~ evaluate the overall effectiveness of the operating contractor in implementing corrective actions to deficiencies identified by facility reviews. The frequent presence of a Facility Representative in the facility ~~is intended and expected to~~ ~~should~~ improve communications between DOE and the operating contractor. This ~~improved communications is intended and expected to~~ ~~should~~ lead to a better understanding of DOE expectations by the contractor, and aid in the implementation of enhancements to facility work practices and operating conditions.
- f. Facility Representatives ~~should~~ vary their day-to-day presence in assigned facilities to show a degree of unpredictability and spontaneity based on the Facility Representative's judgment regarding what is appropriate to observe and assess. While there can be beneficial oversight achieved by walking through assigned facilities with contractor facility managers, certain benefits are lost when Facility

Representative presence is 100% predictable and always with facility managers.

5.3 Authority Granted to Facility Representatives. The Facility Representative is assigned to monitor the performance of facility operations and management. The Facility Representative is a direct safety oversight extension of DOE line management to each respective facility. ~~The responsible Field Element Manager authority provided to each Facility Representative shall be defined clearly the authority provided to each Facility Representative by the responsible field element. The Field Element Manager shall ensure that Facility Representatives shall have the authority to "Stop Work" in the facility, except as expressly limited in governing contracts with the operating contractor. This authority shall cover work performed by the contractor and subcontractors. The Field Element Manager shall ensure that contractors and subcontractors are aware that Facility Representatives have this authority and that this authority covers all facility-related work performed by the contractor and subcontractor.~~ The Facility Representative shall "Stop Work" in the following instances, as a minimum:

- a. Conditions exist that pose an imminent danger¹ to the health and safety of workers or the public.
- b. Conditions exist, that if allowed to continue, could adversely affect the safe operation of, or could cause serious damage to, the facility.
- c. Conditions exist, that if allowed to continue, could result in the release, from the facility to the environment, of radiological or chemical effluents that exceed regulatory limits.

5.4 Facility Assessments. ~~Field Element Managers~~ The Facility Representative Program ~~should be proceduralized~~ Facility Representative Programs, including and ~~may include~~ a set of facility oversight assessment requirements ~~to be completed by assigned Facility Representatives.~~ Field Element Managers Annual assessment plans ~~should may be developed~~ annual facility assessment plans to ensure that a broad-based and systematic review of all aspects of facility operations is conducted over an established period of time. ~~Guidance may be derived from~~ Conduct of Operations resources, such as the DOE-EM-STD-5505-96, Operations Assessments, ~~provide guidance for use in developing these assessment plans.~~ These Facility assessments are not intended to conflict with or duplicate other Field Office assessment efforts nor are they intended to unduly restrict the Facility Representative's day-to-day oversight of assigned facilities.

¹ Any condition or practice such that a hazard exists that could reasonably be expected to cause death or serious physical harm to employees (permanent or prolonged impairment of the body or temporary disablement or requiring hospitalization), unless immediate actions are taken to mitigate the effects of the hazard and/or remove employees from the hazard.

- 5.5 Operational Reports. The Facility Representative is the primary point of contact for the contractor to notify DOE of reportable occurrences as prescribed in DOE Order 232.1. For the Secretarial Officers and field elements to realize the maximum benefit from the Facility Representative program, **Field Element Managers should establish** carefully considered reporting requirements, **including a Facility Representative's log, should** be established for each Facility Representative position, **including a Facility Representative's log. Field Element Managers should establish** guidance **should** be provided on the content of periodic or special reports. **Field Element Managers should** be taken to ensure that reporting does not become an onerous task that unduly limits the management activities of the Facility Representative. In order to facilitate a direct communications link with senior contractor management, the Facility Representative and DOE managers **ment should** meet with senior contractor managers **ment** on a periodic basis to report the results of Facility Representative assessments. **The purpose of the meeting should be and** to discuss trends and systemic issues.
- 5.6 Relationship of the Facility Representative with other DOE Managers. The **Field Element Manager shall define clearly and in writing the** Facility Representatives' relationship with DOE managers within the field element **shall** be clear and defined in writing. **Field Element Managers should** clearly assign Facility Representatives to each facility's operation **should** be clearly assigned to a Facility Representative, **and identify the responsible** Line/Program Manager, and a Secretarial Officer. The Facility Representative **s should** have access to the Program/Line manager **and should periodically meet with Line/Program managers and senior line managers within the field element** to provide information related to the assigned facilities. It is highly desirable that each Facility Representative only be assigned facilities under a single Line/Program Manager and Secretarial Officer. This **might may** not be practical at multi-program facilities, or when more than one facility is involved.
- 5.7 Relationship of Facility Representative with Operating Contractor. **The Field Element Manager shall clearly define** the relationship between the Facility Representative and the facility operating contractor, **shall be** clearly defined and **ensure that expectations are** understood by both parties. Facility Representatives occupy a unique position in the transmission of information between DOE and its contractors. Facility Representatives **should** be able to communicate effectively with all levels of the contractor organization. They **should** be familiar with the contractor chain of command for facility operations. However, the Facility Representatives **should** not become subverted to the contractor's interests nor simply verify compliance with DOE requirements. Facility Representatives **should** represent DOE to the contractor and ensure the contractor carries out DOE operational safety policies. In defining the

relationship between a Facility Representative and contractor, the following points are emphasized:

- a. The Facility Representative functions as a part of DOE line management, and therefore **should** exercise authority consistent with specific program and management guidance established by the field element.
- b. The contractor is responsible for the safety and efficient operation of the facility. The contractor is accountable to DOE to perform its operations in a manner that ensures the safety and health of personnel and protection of the environment. No Facility Representative activity or inactivity can diminish the contractor's responsibility.
- c. The Facility Representative is responsible for determining that the contractor is operating the facility in a safe manner. Facility Representatives fulfill this responsibility by assessing the contractor's performance and discussing identified deficiencies and corrective action with contractor management.
- d. Although the Facility Representative identifies deficiencies, the ultimate responsibility for identifying and correcting deficiencies rests with the operating contractor. **Field Element Managers should ensure that** the contractor **does not shall never** rely solely on the Facility Representative to identify or correct deficiencies.
- e. Minor events or problems are frequently clues that indicate more general problems in the contractor's organization, management, personnel abilities, or practices. Therefore, attention to detail in the identification and correction of minor problems can result in significant improvements in the contractor's performance. When corrective actions are called for, DOE **Line/Program Managers** **should** initiate formal action with the operating contractor. Additionally, the Facility Representative **should** also provide input to formal mechanisms such as confirmation of actions or orders, if necessary.
- f. The Facility Representative **shall** adhere to certain rules of conduct, or protocol, while performing assigned duties, including the facility's approved conduct of operations procedures. **The Field Element Manager** **should** be established for Facility Representatives **a formal protocol that includes** and **should** include the following:
 1. Facility Representatives **should** avoid interrupting operators in their work. The Facility Representative **should** wait for opportune times to deal with facility operators. If the Facility Representative is

observing operations or activities, the **Facility Representative** observation **should** be performed **observations** unobtrusively. Operators carry the true burden of safety, and a diversion from their duties could adversely affect plant operations.

2. The Facility Representative **should** maintain frequent contact with facility management. When Facility Representatives observe something that raises a safety concern, they **should** discuss their concerns with the facility management. If the contractor response is deemed unsatisfactory, the Facility Representative **should** discuss the concern with DOE **line** management for appropriate action.
3. All Facility Representative **should use** ~~requests for action go through established chains of command~~ **for all requests for action**, except when exercising "Stop Work" authority.
4. Facility Representatives **shall** keep a record of their activities and observations. **Facility Representatives** ~~This record~~ **should** be periodically reviewed **their records** to determine if a systemic or recurring problem exists with contractor activities at one or more facilities. This record is subject to review in audits or appraisals and **may** be **used by the Field Element Manager as** a source of information for the contractor evaluation process.

5.8 Specific Education and Experience. In order for individuals to enter a Facility Representative training and qualification program with the greatest opportunity for successful completion, **Field Element Managers should determine that candidates** ~~they should~~ meet certain education and experience requirements. Several mechanisms available to assist field elements in the recruitment and retention of high quality candidates necessary for their program are identified in the DOE **G 426.1-1** ~~Facility Representative Personnel Guide and the DOE-HR Handbook, "Recruiting, Hiring, and Retaining High Quality Technical Staff—A Manager's Guide to Administrative Flexibilities."~~

5.8.1 Education Requirements. Educational requirements are necessary to ensure that the individuals possess the baseline knowledge to successfully complete the training program, the ability to function independently in the field, and the ability to understand scientific principles and communicate in technical terms. **Field Element Managers should establish expected minimum education** ~~The expected minimum education is that which the field element determines is necessary to provide competent technical assessment of the contractor. This will normally be~~ **Minimum education level is expected to be a** Baccalaureate degree or extensive experience in a directly related field such as naval nuclear power, commercial nuclear

power, radioactive waste management, nuclear weapons, nuclear research, **industrial safety, chemical safety**, or accelerator facility programs.

5.8.2 Experience Requirements. **Field Element Managers should also establish and apply** facility-specific experience criteria ~~should be developed and applied~~ as part of the selection criteria for Facility Representative candidates. The facility-specific experience criteria **should** reflect the complexity, hazard classification, and activity level of the facility and be commensurate with the responsibilities, authority and duties of the assigned position.

5.9 Training. **Field Element Managers shall train and qualify** Facility Representatives ~~training and qualification programs shall be in~~ accordance with DOE Order 360.1, "Training", with additional requirements defined in this Standard.

5.9.1 Needs Analysis. The first step in the design of a formal training program for a Facility Representative candidate is to identify and document the requirements of the specific position to be filled. Many of these requirements are generic in nature, since they are common to most Facility Representative positions. ~~However~~ **In addition, Field Element Managers should identify and list** facility-specific requirements ~~should be defined and added to the generic list~~. An analysis of the candidate's training needs is then conducted. This is the process by which the tasks, duties, and responsibilities of the position are analyzed to identify formal or informal training, self-study, seminars, on-the-job-training, briefings, rotational assignments, or other types of training necessary for effective job performance.

5.9.2 Self-Study Documents. **Field Element Managers should develop an extensive list of self-study documents for each Facility Representative. The list of self-study documents should include:**

- a) ~~The Facility Representative should be knowledgeable of all~~ Relevant DOE Rules, Orders, **Manuals, Directives, Notices**, etc., and the Federal and state regulations under which the assigned facility operates;
- b) ~~In addition, the Facility Representative should be familiar with~~ Pertinent national and consensus standards, facility operating procedures, and the facility safety documentation; **and** ~~The list of self-study documents identified for each Facility Representative should, therefore, be extensive. Each document listed should have a~~

- c) Standards of achievement that defines the level of knowledge necessary.

5.9.3 Formal Training. Field Element Managers should require formal training for certain competencies associated with the Facility Representative qualification standards due to the are of such complexity or significance of the competencies. that formal training should be required to satisfy them. The Field Element Managers should is responsible for ensuring that the Facility Representative receives the training necessary for the position. Frequently, appropriate courses and training can be found within the DOE complex, other Federal agencies, or from non-government sources within the scientific community. Headquarters offices, in coordination with the field elements, will can develop additional training courses and material to help meet the non-facility-specific Facility Representative training needs. Close collaboration among field elements and Headquarters Line Management is encouraged to minimize development costs for courses. In cases where formal course work is not practical, Field Element Managers should ensure that informal training provides Facility Representatives the required level of knowledge. The following training elements should be addressed in formal training:

- a. Environmental laws and regulations, including the Resource Conservation and Recovery Act, Clean Air Act, Clean Water Act, and others as appropriate;
- b. Safety and health laws and regulations, including the Occupational Safety and Health Act;
- c. DOE Conduct of Operations;
- d. DOE Conduct of Maintenance;
- e. Quality Assurance;
- f. Radiation protection;
- g. Fire protection;
- h. Electrical safety;
- i. Industrial hygiene and waste management concerns related to chemical hazards;
- j. Observation, Assessment, Investigation techniques;
- k. Occurrence Reporting and Processing Systems;
- l. Facility Authorization Basis, Safety Analysis Reports, Technical Safety Requirements and Unreviewed Safety Questions;
- m. Provisions of the governing contract;
- n. Configuration management;
- o. Stop Work Authority;
- p. Price Anderson Amendment Act Rules;
- q. Facility Emergency Management Procedures;
- r. Facility-Specific Access Requirements; and

- s. Facility Safeguards and Security Requirements.
- t. DOE Integrated Safety Management

- 5.9.4 On-the-Job Training. Field Element **Managers should** establish the "On-the-Job Training" requirements, regarding the controls, activities, processes, and specialized procedures necessary for qualification. These **should** be demonstrated to a qualifying individual.
- 5.9.5 Training Equivalency. Field Element **Managers shall** develop a system (based on requirements in DOE Order 360.1) for granting equivalency for training requirements on the basis of prior experience or education. **Field Element Managers should provide** justification ~~should be provided~~ for each equivalency, which ~~will~~ includes appropriate support documentation, such as transcripts or certificates of completion. **Field Element Managers shall maintain** a copy of the approved equivalency ~~shall be maintained~~ in the Facility Representative's Qualification Record.
- 5.10 Qualification. The Facility Representative position requires a great deal of education, experience and training. In order to document and certify that a Facility Representative has achieved this high level of technical competence, Facility Representatives ~~shall will~~ undergo a formal qualification process **established by the Field Element Manager**.
- 5.10.1 Qualification Card. Field Element **Managers should** establish a Facility Representative Qualification Card (Qual-Card) for each major facility or group of lesser facilities for which they are responsible. The Qual-Card contains a list of all of the training elements or learning objectives, a corresponding standard detailing the required level of knowledge for each objective, and provisions for signatures to attest to satisfactory completion of each objective to the appropriate level of knowledge. ~~Learning objectives should be designated by~~ The Facility Representative's immediate supervisor **should designate learning objectives** based on an analysis of training needs, elements of the position description, and facility-specific requirements.
- 5.10.2 Generic and Facility-Specific Requirements. Field Element **Managers should** identify any additional core training requirements on a Generic Qualification Card, and supplement that with a Facility-Specific Qual-Card designed to meet the needs of the individual facility. It is also acceptable to have one Qual-Card that covers both generic and facility-specific requirements. Additionally, the Field Element **Manager should** designate qualifying officials who are authorized to sign the Qual-Card after verifying the

candidate possesses the appropriate level of knowledge for each requirement. The Qual-Card **should** include the following:

- a. Self Study. All Facility-related DOE **Directives** ~~Orders~~ and Standards, Federal and State safety and environmental protection regulations applicable to the assigned facility, the facility safety documentation, and all facility-specific documents and procedures that are pertinent to the responsibilities of the Facility Representative.
- b. Formal Training. All Formal training, both on-site and off, necessary for the Facility Representative to function effectively. The training **may** be presented by DOE, contractors, other Federal Agencies, or private firms.
- c. On-the-Job Training. All Knowledge of facility processes, systems requirements, and specialized procedures **required to** ~~that~~ **must** be demonstrated to a qualifying official.
- d. Facility Walkthroughs. A walkthrough of the assigned facilities, in the presence of a qualifying official, for the purpose of demonstrating practical skills and thorough knowledge of selected key elements or systems of the facility.

5.10.3 Interim Qualification. DOE Field Element **Managers** **shall** establish **and document the process** and the specific requirements **to that** ~~must~~ be met prior to a Facility Representative candidate being assigned to provide interim coverage in a facility for which he or she is not fully qualified. ~~The~~ Field Element **Managers** **shall** formally define and document the duties and authorities **that which** **may** be assigned to an Interim Qualified Facility Representative. ~~The Interim Qualification process shall be documented.~~ **Field Element Managers** **should minimize** the time spent as a Facility Representative under Interim Qualification **should be minimized**. The Field Element **Managers** **should** also determine ~~what the~~ compensatory measures **to will** be implemented during interim periods while no fully qualified Facility Representative is assigned to a given facility.

5.10.4 Examinations. The **Field Element Manager or his designee** **should develop** formal procedures ~~should be developed by the field element~~ for the administration of facility walkthroughs, and written and oral examinations. Additional information on examinations is available in **DOE-HDBK-1204-97 and DOE-HDBK-1205-97** ~~DOE-STD-1011-92 and DOE-STD-1009-92.~~

- 5.10.4.1 Facility Walkthroughs. ~~Field Element Managers shall establish requirements for~~ facility walkthroughs of assigned facilities at selected points in the Facility Representative qualification process ~~shall require for~~ demonstrating to a qualifying official practical skills and knowledge of selected key elements, including safety systems, structures, and components of the facility.
- 5.10.4.2 Written Examinations. Upon satisfactory completion of all Qual-Card requirements, ~~the Field Element Manager or his designee shall administer Facility Representative shall take~~ a written examination ~~to Facility Representatives~~. The examination ~~should~~ include only subjects on the Facility Representative core and facility-specific Qual-Cards. The minimum passing grade ~~should~~ be 80%.
- 5.10.4.3 Oral Examinations. Upon satisfactory completion of the written examination by the Facility Representative candidate, the Field Element Manager or his designee ~~shall will~~ convene and chair a Qualification Board for the purpose of conducting an oral examination of the candidate. ~~The Field Element Manager or his designee shall determine~~ the composition of the ~~Qualification Board will be determined by the Field Element Manager or designee~~. Board members ~~should~~ ask critical questions intended to integrate identified learning objectives during qualification. Additionally, ~~the Board members may ask~~ follow-up questions ~~to may~~ help the Board determine how the candidates "think on their feet." ~~Field Element Managers or designees should develop~~ formal guidance for the Qualification Board; ~~this guidance should be developed by the field element and~~ include: the standards for Qualification, the use of technical advisors by the Board, the questioning procedures or protocol, pass/fail criteria, the voting authorization and procedures, and the Board deliberation and documentation process. The Board ~~may~~ conduct the oral interview as a group or individually. The minimum passing grade ~~should~~ be 80%. ~~The Board should document explicitly~~ any questions and answers that result in an oral exam failure ~~should be explicitly documented~~.
- 5.10.4.4 Failure of Written or Oral Examinations. ~~Facility Element Managers or their designees may require~~ Failure to pass a written or oral examination ~~will~~ cause the Facility Representative candidates ~~who fail a written or oral examination~~ to go on a special study program designed to strengthen each area of weakness revealed in the examination. ~~Field Element Managers or their designees may direct candidate reexaminations~~ ~~The~~

~~candidate will then be reexamined, with concentration in the identified weak areas. Field Element Managers should reassign Facility Representative candidates who repeatedly fail examinations, should be reassigned by the field element to a non-Facility Representative position. The final reassignment decision should be made by the Field Element Manager, who may wish to take any extenuating circumstances into consideration before rendering a decision. In rendering a final decision on reassignment, the Field Element Manager should consider any extenuating circumstances.~~

- 5.10.5 Full Qualification. Upon completion of all elements of qualification, ~~facility~~ line managers ~~ment~~ within the Field Element ~~Manager or designees should~~ review and confirm satisfactory completion of the training requirements and eligibility of the candidate to become a Facility Representative. Qualification is granted by the Field Element Manager or designee. Upon assignment ~~of Facility Representatives~~ to a different or additional facility or site, ~~Field Element Managers or their designees should identify any additional qualification requirements~~ it is necessary for a Facility Representative to complete the appropriate additional qualification requirements for that facility or site.
- 5.10.6 Requalification. ~~DOE Field Element Managers shall require~~ Facility Representatives ~~shall be required~~ to requalify every three years. DOE Field Element ~~Managers shall will~~ establish the specific requalification training designed to update and maintain the qualifications of Facility Representatives. ~~Field Element Managers shall document the~~ requalification process which ~~shall be documented and~~ as a minimum ~~include~~ consist of the following:
- a. Items added to the Facility Representative Qualification Card since the individual's last qualification or requalification.
 - b. A comprehensive examination covering new material and selected material from the initial qualification process.
- 5.10.7 Proficiency. Field Element ~~Managers shall~~ formally define proficiency requirements. These requirements ~~shall~~ include actions required to regain proficiency following periods of inactivity as a Facility Representative, and the length of time which triggers a need for proficiency training.
- 5.10.8 Continuing Training. Field Element ~~Managers should~~ establish continuing training to enhance and strengthen the knowledge, skills and abilities of facility representatives. ~~Examples of continuing~~

training include but are not limited to: regular updates through briefings or self-study of lessons learned information; self-study of relevant technical journals; pursuing an academic course of study in related technical or management fields; and temporary duty assignments to perform related technical or management functions.

The continuing training program serves to improve the overall technical capabilities and credibility of the Facility Representative and the organization. Field Element **Managers** **should** also ensure that opportunities to develop management skills are made available, so that career progression for the Facility Representatives is realized.

6. NOTES

This section contains information of a general or explanatory nature that **may** be helpful, but is not mandatory.

6.1 Intended Use. This standard is intended for the use of DOE managers responsible for establishing and maintaining a Facility Representative program at DOE ~~nuclear~~ facilities with the goal of ensuring that the Department's Facility Representatives are selected based on consistently high standards and from the best qualified candidates available, that they receive the training required for them to function effectively, and that their expected functions, responsibilities and authority are well understood and accurately documented. Guidance is provided in the following areas:

- a. Assessing Facility Representative coverage,
- b. Defining Facility Representative qualifications,
- c. Defining Facility Representative functions, responsibilities and authorities,
- d. Establishing Facility Representative training requirements,
- e. Establishing Facility Representative training programs,
- f. Formal examination of Facility Representatives, and
- g. Facility Representative Program Performance Assessment.

6.2 Key Word Listing.

- a. Facility Representative
- b. Facility Representative coverage
- c. Hazard classification
- d. Line management
- e. Occurrence reporting
- f. Operational activity
- g. Performance Indicator
- h. Program manager
- i. Qualification
- j. Safety analysis
- k. Self study
- l. Stop work
- m. Training

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APPENDIX A

FACILITY REPRESENTATIVE PERFORMANCE INDICATORS

Scope: Carefully chosen Performance Indicators (PIs) can provide valuable measures of the effectiveness of Facility Representative (~~FacRep~~) Programs. These PIs **will** be used by DOE-HQ to evaluate DOE-wide program effectiveness. Other PIs **may** be useful at a local level to determine the need for local program changes, depending on circumstances that **may** be unique to a site.

DOE-wide Facility Representative PIs are relatively few in number, easy to measure and report, applicable to all Facility Representative Programs, and resistant to misinterpretation. Since effectiveness in providing contractor oversight **may** be difficult to capture in measurable terms, some subjective measures are used.

General Points:

1. The attached Performance Indicators are for DOE-wide use. Field elements **may** use additional, local PIs that suit their own needs.
2. PIs for DOE-wide use are divided into the following categories: Staffing, Training and Qualification, Facility Representative Program Accomplishments, and Fulfilling the Facility Representative Role.
3. PIs that measure contractor performance have been avoided as measures of Facility Representative program effectiveness.
4. PIs **should** be reported **by the Field Element Managers** to program offices quarterly, with **a** copy sent to the Facility Representative Program Manager, Office of **the Departmental Representative to the Defense Nuclear Facilities Safety Board (DOE S-3.1) Field Services and Liaison, (FM-10)**. At the close of a given quarter, one month is allocated to assemble PI reports, which are then due on the first working day of the months of February, May, August, and November.
5. Performance Indicators, their methods of calculation, and goals (or targets) are presented in the following tables.

APPENDIX A

STAFFING			
TYPE	INDICATOR NAME	HOW TO CALCULATE	GOAL
DOE-wide	Staffing level (%)	<p>Number of FacRep positions filled</p> <p>-----</p> <p>Number of FacRep positions *</p> <p>[Show numerator and denominator in calculation]</p>	<p>100% of [#FacReps]</p> <p>* per DOE-STD-1063-2000</p>
DOE-wide	Attrition	<p>Number of FacReps leaving the program this quarter. Provide reason for attrition using the following options: Transfer, Promotion, Lateral, Retirement, Contractor, or Resignation. *</p>	<p>N/A</p> <p>* Transfer - Takes FR job at different site;</p> <p>Promotion - Takes non-FR position at higher GS level;</p> <p>Lateral - Takes non- FR position at same GS level;</p> <p>Retirement - Leaves DOE for retirement.</p> <p>Contractor - Leaves DOE to take position with contractor at same site;</p> <p>Resignation - Leaves DOE other than Retirement or Contractor.</p>

TRAINING AND QUALIFICATION			
TYPE	INDICATOR NAME	HOW TO CALCULATE	GOAL
DOE-wide	% of FacReps Core Qualified	Number of FacReps Core Qualified ----- Number of FacReps	None specified
DOE-wide	% of FacReps Interim Qualified (if applicable)	Number of FacReps Interim Qualified ----- Number of FacReps	None specified
DOE-wide	% of FacReps Fully Qualified	Number of Fully Qualified FacReps ----- Number of FacReps	Greater than 75%

FACILITY REPRESENTATIVE PROGRAM ACCOMPLISHMENTS			
TYPE	INDICATOR NAME	HOW TO CALCULATE	GOAL
DOE-wide	Accomplishments	Any accomplishments of note during the quarter	None specified

FULFILLING THE FACILITY REPRESENTATIVE ROLE			
TYPE	INDICATOR NAME	HOW TO CALCULATE	GOAL
DOE-wide	<p>FacRep Time Spent in the Plant/Field (plant walkthroughs, surveillances, assessments, etc.)</p> <p>Overtime/comptime hours count in both the numerator and denominator</p>	<p>Average number of hours spent in the plant/ field this quarter</p> <p>-----</p> <p>Number of available work hours his quarter*</p>	<p>Greater than 40%</p> <p>* Denominator only includes number of hours expected by DOE-STD-1063-2000, if the FacRep is a part-time FacRep.</p>
DOE-wide	<p>FacRep Time Spent Performing Contractor Oversight (includes time in plant/field as above, and procedure reviews at desk, ORPS activities at desk, etc.)</p> <p>Overtime/comptime hours count in both numerator and denominator</p>	<p>Average number of hours FacReps spend performing contractor oversight this quarter</p> <p>-----</p> <p>Number of available work hours this quarter*</p>	<p>Greater than 60%</p> <p>* Denominator only includes number of hours expected by DOE-STD-1063-2000, if the FacRep is a part-time FacRep.</p>

APPENDIX A

RED RUN Site

Performance Indicators for First Quarter CY2000 (Jan 2000 through Mar 2000).

Submitted April 30, 2000.

STAFFING			
TYPE	INDICATOR NAME	HOW TO CALCULATE	GOAL
DOE-wide	Staffing level (%)	90% [9 of 10]	100%
DOE-wide	Attrition	1 - Promotion	N/A

TRAINING AND QUALIFICATION			
TYPE	INDICATOR NAME	HOW TO CALCULATE	GOAL
DOE-wide	% of FacReps Core Qualified	100% [9 of 9]	None specified
DOE-wide	% of FacReps Interim Qualified (if applicable)	89% [8 of 9]	None specified
DOE-wide	% of FacReps Fully Qualified	78% [7 of 9]	Greater than 75%

FACILITY REPRESENTATIVE PROGRAM ACCOMPLISHMENTS			
TYPE	INDICATOR NAME	HOW TO CALCULATE	GOAL
DOE-wide	Accomplishments	30% Reduction in ORPS review times for FY2000	None specified

FULFILLING THE FACILITY REPRESENTATIVE ROLE			
TYPE	INDICATOR NAME	HOW TO CALCULATE	GOAL
DOE-wide	FacRep Time Spent in the Plant/Field	55%	Greater than 40%
DOE-wide	FacRep Time Spent Performing Contractor Oversight	70%	Greater than 60%

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APPENDIX B

FACILITY REPRESENTATIVE PROGRAM ASSESSMENT GUIDE

The Department of Energy has implemented its Facility Representative Program, and is now looking to improve the program's effectiveness DOE-wide. An effective Facility Representative Program has many elements, as spelled out in ~~this Standard DOE-STD-1063-97, "Establishing and Maintaining a Facility Representative Program at DOE Facilities"~~. These elements are intended to yield a program ~~that~~ which provides DOE facilities with well-trained Facility Representatives, who spend appropriate amounts of time in their facilities, and can work effectively with their contractor management counterparts. The program, to be effective, ~~needs must~~ have the functional support of management. ~~To maintain the continued support of DOE management, the Facility Representative program needs to demonstrate its continued performance and effectiveness, which is to be assessed periodically and must be able to assess its own performance using this guide.~~ Any assessment of a Facility Representative Program ~~should~~ determine the extent to which the ~~following~~ objectives are being met, and provide recommendations on improving the program's effectiveness.

Objectives:

- 1) Well-trained, qualified Facility Representatives.
- 2) Adequate coverage for DOE facilities.
- 3) Effective relationships with the Contractor.
- 4) Adequate functional support from the Field Element Management.
- 5) Performance assessment and feedback program in place.

Purpose:

The purpose of this guide is to provide the Department with a consistent set of guidelines to assess the effectiveness of Facility Representative Programs.

Scope:

This guide is ~~provided for use should~~ be used by DOE HQ and Field Elements to assess the effectiveness of their Facility Representative Programs as described in DOE STD-1063-2000.

References:

The following references ~~should~~ be used in conjunction with this guide:

- General Technical Base Qualification Standard
- Facility Representative Qualification Standard

- Applicable Field Element site-, and facility-specific qualification standards
- Applicable Field Element site-, and facility-specific program implementing documents
- Applicable Field Element Facility Representative Program Performance Indicators

I. ASSESSMENT LINES OF QUESTION

The following Lines of Question examine the strength and maturity of the Field Element's Facility Representative Program and the effectiveness of its Facility Representatives (FacReps) by assessing performance at meeting the five objectives of the Facility Representative Program. That is, once in place, how well does the Field Element implement the Program?

1. Well-trained, qualified Facility Representatives.

- Do training records show that Facility Representatives, who are listed as qualified, have the proper education and experience, and that they have completed all qualification requirements as specified in General Technical Base Qualification Standard, Facility Representative Qualification Standard, and local directives?
- Are the qualifications approved by line management?
- Do the training records show that Facility Representatives complete all requalification requirements at the periodicity specified in the program directive?
- Are the personnel involved in training and qualifying FacReps formally identified?
- What is the process used to ensure that qualified FacReps maintain or regain proficiency, and is it effective?
- How many FacReps have failed to qualify within the time allowed by the program directive?
- How many have failed to requalify? What actions were taken by the responsible Field Element Management?
- How is test bank adequacy and security verified for all qualification areas and facilities?
- Do written examinations challenge candidates sufficiently to ensure the proper level of knowledge?
- Does the oral examination process challenge the candidate sufficiently to verify the proper level of knowledge of all qualification areas and facilities? Do they test the FacRep's technical understanding of facility processes, judgement and decision-making abilities, and ability to communicate expectations to the Contractor?
- How well does the FacRep understand his/her roles and responsibilities under the Field Element's Facility Representative Program?
- What continuing training is conducted for Facility Representatives? Does it cover topics germane to FacRep duties and responsibilities?

2. Adequate coverage for DOE facilities.

- Is FacRep Staffing in accordance with ~~this standard DOE-STD-1063-97~~? If not, is a written agreement with the Program Office in place?
- What is done to recruit and hire satisfactory candidates to fill known or projected FacRep vacancies? Are sufficient numbers of FacRep candidates undergoing qualification to fill known or projected FacRep vacancies? Is there a FacRep “pipeline” to train new FacRep candidates?
- How long have current FacRep vacancies existed?
- What is the trend of the reported time spent in the facility and time performing oversight?
- What methods are used by the Field Element to ensure that adequate facility coverage is maintained by qualified FacRep during periods of leave, attrition, or downsizing?

3. Effective relationships with the Contractor.

- Do FacReps actually have unencumbered access and “Stop Work” authority to their assigned facilities? Has this been communicated formally to the contractor?
- Has “Stop Work” authority been exercised? Was it appropriate? Was it effective? Are there occasions ~~when it was appropriate for Facility Representatives to exercise “Stop Work” authority that it should have been,~~ but it was not used?
- What is the effectiveness of the FacReps as verified by observing selected qualified personnel who are monitoring training, operations, or maintenance evolutions?
- Are reviews of occurrence reports accomplished in a timely manner while ensuring that the root cause has been determined and effective action proposed?
- Do FacReps accomplish facility assessments, surveillances and audits as scheduled and are the findings meaningful and consistent with facility performance? Do assessments limit the amount of time the FacRep can spend on day-to-day facility oversight?
- How effective is the process for correcting deficiencies when comparing reported dates against the completed action dates? Have all completed actions actually been performed?
- How is tracking, follow-up, and closure of FacRep findings performed? Is there follow-up on issues informally identified by the FacRep?
- How effective is the documentation of FacRep activities (e.g., reports, log keeping)?
- How are FacRep findings reported (formally and informally) to the contractor? Are the reports provided to the contractor consistent with the information recorded by the FacReps? How clear is the process of reporting findings to the contractor?

- Does the FacRep have access to all levels of facility management? How often does the FacRep discuss facility operations issues with the facility manager? Do the FacReps regularly interface with facility operations personnel?
- Are FacRep to contractor interactions formal or informal; collegial or confrontational; helpful or adversarial? Are these interactions effective or harmful to operational safety?
- Does a process exist for ensuring the continued objectivity of FacReps assigned to a given facility?

4. Adequate functional support from the Field Element Management.

- What are the reasons for any FacRep attrition? Are FacRep's leaving for promotions, laterals, downsizing?
- How many FacReps have been promoted to positions of greater responsibility?
- What steps has management taken to ensure that the FacRep positions are career enhancing? Are there senior or supervisory FacRep opportunities?
- What continuing education is actively supported?
- What role does Field Element Management have in the qualification process?
- Does management provide the resources necessary to qualify FacReps within the time allowed by the program directive?
- How does line management support the actions taken by the FacReps at the respective facilities?
- What is interface relationship between the FacReps and each level of DOE line management?
- How often does senior DOE line management meet with the FacReps?
- How often does line management "walk the spaces" with the FacReps?
- How does DOE line management track and follow up on issues raised by the FacReps?
- What local processes exist to allow FacReps access to Field Element technical expertise regarding Contractor issues?
- What local Performance Indicator data is used to provide indication of the FacRep program status? What trending and analysis is done on Performance Indicator data? How is this information used?
- What incentive programs are in place and used effectively for the FacRep position?
- Do these programs make the Facility Representative position desirable and career enhancing?

5. Performance assessment and feedback program in place.

- How often does the Field Element conduct self-assessments of the entire Facility Representative program?
- How are peer reviews incorporated into the self-assessment process?

- Does the Program Secretarial Officer participate in assessments with a representative on the assessment team?
- How well does the self-assessment program ensure that the evaluators have adequate knowledge and experience to conduct meaningful reviews?
- Based on self-assessment reports, have adequate reviews been conducted to be able to properly evaluate the assigned area of assessment?
- Have the self-assessments generated meaningful recommendations for improvement and corrective actions?
- How is the accomplishment of self-assessment actions tracked?
- Are corrective actions being completed in a timely manner?
- How are the FacReps kept informed on changes to their facilities and their operating practices?
- How are lessons learned from facility events disseminated to FacReps?
- How are lessons learned from facility events at other DOE facilities sought and disseminated to FacReps?
- Are lessons learned from other relevant industrial events disseminated to FacReps?

II. APPROACH

The approach to be used in performing the Facility Representative Program assessment **is expected to** ~~will~~ vary between Field Elements. In order to obtain a valuable assessment of the program, the following methodology is presented.

Documentation. Much information can be determined in advance of the assessment by careful review of program documentation. This can include:

1. Program directive(s)
2. Performance Indicators (DOE-wide and locally generated)
3. Qualification tracking data
4. Significant Occurrence Reports
5. Performance Assessments including the Facility Representative Program Self-Assessment
6. Training records (including continuing training)
7. Qualification records
8. Facility Representative logs
9. Facility Representative reports
10. Management tracking system for Facility-Representative-reported issues
11. Written and oral examination question banks

Interviews. By discussing the program with its participants, a determination can be made about program performance “on paper” as opposed to “in reality.” Consideration **should** be given to interviewing:

1. Facility Representative Program **sponsors** ~~managers~~
2. Facility Representatives

3. Facility Representative supervisors
4. Line managers
5. Contractor facility managers
6. Technical Expertise support (health physics, explosive safety, etc)

Walkthroughs. Much information can be determined by performing walkthroughs with the Facility Representatives. Walkthroughs can provide indication of:

1. Level of Facility Representative qualification
2. Actual practices of the facility
3. Interactions with contractor personnel
4. Log-keeping and reporting practices
5. Corrective action verification

Other methods. The preceding list of methods is for example purposes. Additional methods exist which **may** help in assessing program performance **and** ~~These methods~~ **should** be used as appropriate.

III. REPORT

This section contains the report format which can be used to document these reviews of Facility Representative Programs. The report ~~should~~**will** be in narrative format and include the following:

Report header:

Date of report
Facility Representative Program Review
Field Organization
Date(s) of review

Summary:

Includes a brief synopsis of the program assessment including activities observed, personnel interviewed (by position), and documents reviewed. Each section of the report **should** be evaluated as adequate, marginal, or unsatisfactory. An overall grade for the assessment (satisfactory or unsatisfactory) **should** be assigned. The report **should** specifically identify excellent practices worth sharing as well as significant, or key weaknesses noted. A rationale **should** be provided for the grade given, based on current program status, progress made, and achievement of the program objectives.

Discussion:

For each of the listed program objectives, provide a report of current status, progress made in this area, grade assigned, and recommendations for improvement.

1. Well-trained, qualified Facility Representatives.
2. Adequate coverage for DOE facilities.
3. Effective relationships with the Contractor.
4. Adequate functional support from the Field Element Management.
5. Performance assessment and feedback program in place.

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CONCLUDING MATERIAL

Review Activities:

DOE-DP

EE

EH

EM

FE

MA

NE

RW

SC

AL

CH

ID

NV

OAK

OH

OR

ORP

RF

RL

SPRO

SR

Preparing Activity:

DOE S-3.1

Project Number:

MGMT-0003